



## Advanced Search

<b>Find results</b>	with all of the words	selected investors 1998 bids number of shares	10 results
	with the exact phrase	initial public offering	Google
	with at least one of the words		
	without the words		

  

<b>Language</b>	Return pages written in	any language
<b>File Format</b>	<input type="button" value="Only"/> return results of the file format	any format
<b>Date</b>	Return web pages updated in the	anytime
<b>Occurrences</b>	Return results where my terms occur	anywhere in the page
<b>Domain</b>	<input type="button" value="Only"/> return results from the site or domain	e.g. google.com, .org <a href="#">More info</a>
<b>SafeSearch</b>	<input checked="" type="radio"/> No filtering <input type="radio"/> Filter using <a href="#">SafeSearch</a>	

## News Search (BETA)

News Find news stories from the past week

To browse news, see the [Overview of Today's Headline](#)

## Page-Specific Search

Similar Find pages similar to the page

e.g. [www.google.com/help.html](http://www.google.com/help.html)

Links Find pages that link to the page

## Topic-Specific Search

6/4/02

reviewed selected articles

Google offers specialized searches on the following topics

New! [Google Catalog Search](#) - Search and browse mail-order catalogs online

[Apple Macintosh](#) - Search for all things Mac

[BSD Unix](#) - Search web pages about the BSD operating system

[Linux](#) - Search all penguin-friendly pages

[Microsoft](#) - Search Microsoft-related pages

[U.S. Government](#) - Search all .gov and .mil sites

[Universities: Stanford, Brown, BYU, & more](#)

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Logging in to Dialog

Trying 31060000009999...Open

DIALOG INFORMATION SERVICES

PLEASE LOGON:

\*\*\*\*\*

ENTER PASSWORD:

\*\*\*\*\*

Welcome to DIALOG

Dialog level 02.05.06D

Last logoff: 31may02 14:04:10

Logon file405 04jun02 08:46:08

\*\*\* ANNOUNCEMENT \*\*\*

\*\*\*

--Important Notice for Japanese KMKNET Users  
KMKNET will be terminated on 5/31/02. Please  
switch to DLGNET. Please refer to the G-Search  
home page at <http://www.g-search.or.jp>  
for more information.

\*\*\*

--SourceOne patents are now delivered to your  
email inbox as PDF replacing TIFF delivery.  
See HELP SOURCE1 for more information.

\*\*\*

--Important news for public and academic  
libraries. See HELP LIBRARY for more information.

\*\*\*

--Important Notice to Freelance Authors--  
See HELP FREELANCE for more information

\*\*\*

For information about the access to file 43 please see Help News43.

\*\*\*

NEW FILES RELEASED

\*\*\*AGROProjects (File 235)

\*\*\*TRADEMARKSCAN-Japan (File 669)

\*\*\*

UPDATING RESUMED

\*\*\*Delphes European Business (File 481)

\*\*\*

RELOADED

\*\*\*CLAIMS/US PATENTS (Files 340, 341, 942)

\*\*\*Kompass Western Europe (590)

\*\*\*D&B - Dun's Market Identifiers (516)

REMOVED

\*\*\*Baton Rouge Advocate (File 382)

\*\*\*Washington Post (File 146)

\*\*\*Books in Print (File 470)

\*\*\*Court Filings (File 793)

\*\*\*Microcomputer Software Guide Online (File 278)

\*\*\*Publishers, Distributors & Wholesalers of the U.S. (File 450)

\*\*\*State Tax Today (File 791)

\*\*\*Tax Notes Today (File 790)

\*\*\*Worldwide Tax Daily (File 792)

\*\*\*New document supplier\*\*\*

IMED has been changed to INFOTRIE (see HELP OINFOTRI)

>>>Get immediate news with Dialog's First Release news service. First Release updates major newswire databases within 15 minutes of transmission over the wire. First Release provides full Dialog searchability and full-text features. To search First Release files in OneSearch simply BEGIN FIRST for coverage from Dialog's broad spectrum of news wires.

>>> Enter BEGIN HOMEBASE for Dialog Announcements <<<  
>>> of new databases, price changes, etc. <<<

\*\*\*\*

FTXTCOR is set ON as an alias for 15, 9, 810, 275, 476, 610, 275, 476, 624, 636, 621, 613, 813, 16, 160, 634, 148, 20.

NFTXTCOR is set ON as an alias for 77, 35, 583, 65, 2, 233, 474, 475, 99, 348, 349, 347.

SYSTEM:HOME

Cost is in DialUnits

Menu System II: D2 version 1.7.8 term=ASCII

\*\*\* DIALOG HOMEBASE(SM) Main Menu \*\*\*

Information:

1. Announcements (new files, reloads, etc.)
2. Database, Rates, & Command Descriptions
3. Help in Choosing Databases for Your Topic
4. Customer Services (telephone assistance, training, seminars, etc.)
5. Product Descriptions

Connections:

6. DIALOG(R) Document Delivery
7. Data Star(R)

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/H = Help /L = Logoff /NOMENU = Command Mode

Enter an option number to view information or to connect to an online service. Enter a BEGIN command plus a file number to search a database (e.g., B1 for ERIC).

? dialog

>>Invalid Option Number

\*\*\* DIALOG HOMEBASE(SM) Main Menu \*\*\*

Information:

1. Announcements (new files, reloads, etc.)
2. Database, Rates, & Command Descriptions
3. Help in Choosing Databases for Your Topic
4. Customer Services (telephone assistance, training, seminars, etc.)
5. Product Descriptions

Connections:

6. DIALOG(R) Document Delivery
7. Data Star(R)

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/H = Help /L = Logoff /NOMENU = Command Mode

Enter an option number to view information or to connect to an online

service. Enter a BEGIN command plus a file number to search a database  
(e.g., B1 for ERIC).

? b 410

```
04jun02 08:46:10 User242899 Session D196.1
$0.00      0.151 DialUnits FileHomeBase
$0.00 Estimated cost FileHomeBase
$0.00 Estimated cost this search
$0.00 Estimated total session cost  0.151 DialUnits
```

File 410:Chronolog(R) 1981-2002/May  
(c) 2002 The Dialog Corporation

Set Items Description

--- -----

? set hi ;set hi

HIGHLIGHT set on as ''

**HIGHLIGHT set on as ''**

? b ftxtcor

```
04jun02 08:46:34 User242899 Session D196.2
$0.00      0.071 DialUnits File410
$0.00 Estimated cost File410
$0.08 TELNET
$0.08 Estimated cost this search
$0.08 Estimated total session cost  0.222 DialUnits
```

SYSTEM:OS - DIALOG OneSearch

File 15:ABI/Inform(R) 1971-2002/Jun 01

(c) 2002 ProQuest Info&Learning

\*File 15: SELECT IMAGE AVAILABILITY FOR PROQUEST FILES  
ENTER 'HELP PROQUEST' FOR MORE

File 9:Business & Industry(R) Jul/1994-2002/May 30

(c) 2002 Resp. DB Svcs.

File 810:Business Wire 1986-1999/Feb 28

(c) 1999 Business Wire

File 275:Gale Group Computer DB(TM) 1983-2002/Jun 03

(c) 2002 The Gale Group

File 476:Financial Times Fulltext 1982-2002/Jun 04

(c) 2002 Financial Times Ltd

File 610:Business Wire 1999-2002/Jun 04

(c) 2002 Business Wire.

\*File 610: File 610 now contains data from 3/99 forward.

Archive data (1986-2/99) is available in File 810.

File 624:McGraw-Hill Publications 1985-2002/Jun 03

(c) 2002 McGraw-Hill Co. Inc

File 636:Gale Group Newsletter DB(TM) 1987-2002/Jun 03

(c) 2002 The Gale Group

File 621:Gale Group New Prod. Annou. (R) 1985-2002/Jun 03

(c) 2002 The Gale Group

File 613:PR Newswire 1999-2002/Jun 04

(c) 2002 PR Newswire Association Inc

\*File 613: File 613 now contains data from 5/99 forward.

Archive data (1987-4/99) is available in File 813.

File 813:PR Newswire 1987-1999/Apr 30

(c) 1999 PR Newswire Association Inc

File 16:Gale Group PROMT(R) 1990-2002/Jun 03

(c) 2002 The Gale Group

File 160:Gale Group PROMT(R) 1972-1989

(c) 1999 The Gale Group

File 634:San Jose Mercury Jun 1985-2002/Jun 03

(c) 2002 San Jose Mercury News

File 148:Gale Group Trade & Industry DB 1976-2002/Jun 04

(c)2002 The Gale Group

File 20:Dialog Global Reporter 1997-2002/Jun 04

(c) 2002 The Dialog Corp.

Set	Items	Description
-----	-------	-------------

---	-----	-----
-----	-------	-------

? s mechanism (s) joint (1w)venture (s) (fund? or financing)

Processing

Processed 10 of 16 files ...

Processing

Processing

Completed processing all files

427213	MECHANISM
--------	-----------

3500361	JOINT
---------	-------

2656097	VENTURE
---------	---------

6536008	FUND?
---------	-------

1674077	FINANCING
---------	-----------

S1	147	MECHANISM (S) JOINT (1W)VENTURE (S) (FUND? OR FINANCING)
----	-----	--

? s s1 and (network or internet)

Processing

Processed 10 of 16 files ...

Completed processing all files

147	S1
-----	----

5956573	NETWORK
---------	---------

5940813	INTERNET
---------	----------

S2	43	S1 AND (NETWORK OR INTERNET)
----	----	------------------------------

? s s2 and py<2000

Processing

Processed 10 of 16 files ...

Processing

Completed processing all files

43	S2
----	----

37310371	PY<2000
----------	---------

S3	23	S2 AND PY<2000
----	----	----------------

?

PLEASE ENTER A COMMAND OR BE LOGGED OFF IN 5 MINUTES

?

Connection closed by remote host

L Number	Hits	Search Text	DB	Time stamp
1	37275	network same investment same initial(2w)offering	USPAT; EPO; JPO	2002/06/04 09:06
2	2772	network same investment same initial(2w)offering same (stock or securit??)	USPAT; EPO; JPO	2002/06/04 09:07
3	2560	network same investment same initial(2w)offering same (stock or securit??) same (auction or bid????)	USPAT; EPO; JPO	2002/06/04 09:08
5	2013	network same investment same initial(2w)offering same (stock or securit????) same (auction or bid????)	USPAT	2002/06/04 09:10
6	9	(705/\$).icls. and (network same investment same initial(2w)offering same (stock or securit????) same (auction or bid????))	USPAT; EPO; JPO	2002/06/04 09:12
7	850137	initial(1w)public(1w)offering	USPAT; EPO; JPO	2002/06/04 09:14
8	35	initial adj2 offering	USPAT; EPO; JPO	2002/06/04 09:14

? show files;ds

File 15:ABI/Inform(R) 1971-2002/Jun 01  
 (c) 2002 ProQuest Info&Learning  
 File 9:Business & Industry(R) Jul/1994-2002/May 30  
 (c) 2002 Resp. DB Svcs.  
 File 810:Business Wire 1986-1999/Feb 28  
 (c) 1999 Business Wire  
 File 275:Gale Group Computer DB(TM) 1983-2002/Jun 03  
 (c) 2002 The Gale Group  
 File 476:Financial Times Fulltext 1982-2002/Jun 04  
 (c) 2002 Financial Times Ltd  
 File 610:Business Wire 1999-2002/Jun 04  
 (c) 2002 Business Wire.  
 File 624:McGraw-Hill Publications 1985-2002/Jun 03  
 (c) 2002 McGraw-Hill Co. Inc  
 File 636:Gale Group Newsletter DB(TM) 1987-2002/Jun 03  
 (c) 2002 The Gale Group  
 File 621:Gale Group New Prod.Annou.(R) 1985-2002/Jun 03  
 (c) 2002 The Gale Group  
 File 613:PR Newswire 1999-2002/Jun 04  
 (c) 2002 PR Newswire Association Inc  
 File 813:PR Newswire 1987-1999/Apr 30  
 (c) 1999 PR Newswire Association Inc  
 File 16:Gale Group PROMT(R) 1990-2002/Jun 03  
 (c) 2002 The Gale Group  
 File 160:Gale Group PROMT(R) 1972-1989  
 (c) 1999 The Gale Group  
 File 634:San Jose Mercury Jun 1985-2002/Jun 03  
 (c) 2002 San Jose Mercury News  
 File 148:Gale Group Trade & Industry DB 1976-2002/Jun 04  
 (c)2002 The Gale Group  
 File 20:Dialog Global Reporter 1997-2002/Jun 04  
 (c) 2002 The Dialog Corp.

Set	Items	Description
S1	323	(MECHANISM OR PROCESS) (S) (JOINT(1W) VENTURE) (S) (FUNDING OR FUNDED OR FINANCING OR FINANCE) (S) (INTERNET OR NETWORK)
S2	165	S1 AND PY<2000
S3	36	S2 AND (INVESTORS OR ANGELS)
S4	24	RD S3 (unique items)
S5	14726	EQUITY(2W) (FINACING OR FUNDING)
S6	2	S1 AND S5
?		

*fully reviewed 8/4/02*



? t s8/8,k/all

>>>KWIC option is not available in file(s): 77

8/8,K/1 (Item 1 from file: 9)  
DIALOG(R)File 9:(c) 2001 Resp. DB Svcs. All rts. reserv.

02635169 (USE FORMAT 7 OR 9 FOR FULLTEXT)

The Growing Attraction of Debt

November 01, 1999

WORD COUNT: 1851

SPECIAL FEATURES: Table

INDUSTRY NAMES: Financial services

PRODUCT NAMES: Business credit institutions (615000); Investors NEC  
(679900)

CONCEPT TERMS: All company; All market information; Financial data; Trends

GEOGRAPHIC NAMES: North America (NOAX); United States (USA)

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...of financing. Such financing also conserves an entrepreneur's ownership in his company, while equity **financing** requires surrendering a large **percentage of stock to venture capitalists** in exchange for **equity**.

The Level of Risk

Comdisco Ventures, a division of the Fortune 500 technology services company...its \$11.5 million first round of venture financing in February from Mohr, Davidow Ventures, **Internet Capital Group** and angel **investors**.

Calvert says Onvia's valuation had risen 400% by the time of its second round...

8/8,K/2 (Item 1 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

02209136 77316989

\*\*USE FORMAT 9 FOR FULL TEXT\*\*

The institutional and policy environment for investment in Russia

WORD COUNT: 12835 LENGTH: 36 Pages

Jun 2001

GEOGRAPHIC NAMES: United States; US

DESCRIPTORS: Foreign investment; Studies; Economic reform

CLASSIFICATION CODES: 1300 (CN=International trade & foreign investment);

9176 (CN=Eastern Europe); 9130 (CN=Experimental/Theoretical); 1120

(CN=Economic policy & planning)

PRINT MEDIA ID: 15610

...TEXT: the authorities.

To address these forms of economic crime, it is necessary to amend a **number** of directly contradictory regulations in joint **stock** company law (e.g. the prohibition of voting by prior agreement), in the tax code... the Russian economy with a basic corporate sector, a corporate securities market and its first **network** of institutional **investors**. The use of vouchers led, however, to dispersed ownership structures and widespread insider (management) control...issues such as the rule of law, the fiscal regime, administrative barriers and lack of **financing** resources affecting the overall **business** environment

must also be addressed. Priorities for the completion of privatisation should be:

\*The resort...

8/8,K/3 (Item 2 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

02091336 63114940

\*\*USE FORMAT 9 FOR FULL TEXT\*\*

Smart capital WORD COUNT: 4212 LENGTH: 7 Pages

Oct 2000

GEOGRAPHIC NAMES: United States; US

DESCRIPTORS: Planning; Mortgage servicing; History; Equity capital;

Manycompanies; Investment policy

CLASSIFICATION CODES: 9190 (CN=United States); 8120 (CN=Retail banking);

3400 (CN=Investment analysis & personal finance)

PRINT MEDIA ID: 21937

...TEXT: This article seeks to outline private equity groups' attraction to the mortgage industry, illustrate a **number** of mortgage banking hits and misses experienced by private **equity** investors and, with private equity funding readily available, offer advice on how to find "smart...saga ended with the closure of Victoria Mortgage in 1996.

During the RTC era, a **number** of private **equity** investors generated hits with their investments, while some missed the mark. Those with the smarter...cases used the initial public offering (IPO) market to make their exits. Until recently, the **Internet** IPO market was hot. **Investors** of every kind were scrambling to fund any Internet start-up they could get their...

...be recovering slightly, and trades around \$9 per share.

Mortgage.com, Sunrise, Florida, which was **funded** with private equity initially, began as a **business**-to-consumer site and has since shifted its focus to the business-to-business (B2B) market. Its **stock** is still smarting, though, having dropped from a high of more than \$22 per **share** in September 1999 to the \$1 to \$2 per **share** range at time of publication.

Similarly, iOwn, San Francisco, which began as a B2C model...when the industry needed sorting out-including times like today, when the Internet presents a **number** of unknowns.

Unquestionably, private **equity** investors have spawned a number of industry success stories that otherwise never would have been...

8/8,K/4 (Item 3 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01954366 46126037

\*\*USE FORMAT 9 FOR FULL TEXT\*\*

The Growing Attraction of Debt WORD COUNT: 1849

Nov 1, 1999

GEOGRAPHIC NAMES: United States; US

DESCRIPTORS: Startups; Debt financing; Capital formation; Venture capital;

Trends

CLASSIFICATION CODES: 9520 (CN=Small business); 3100 (CN=Capital & debt management); 9190 (CN=United States)

...TEXT: of financing. Such financing also conserves an entrepreneur's ownership in his company, while equity **financing** requires surrendering a large **percentage** of **stock** to **venture capitalists** in exchange for **equity**.

#### The Level of Risk

Comdisco Ventures, a division of the Fortune 500 technology services company... its \$11.5 million first round of venture financing in February from Mohr, Davidow Ventures, **Internet** Capital Group and angel **investors**.

Calvert says Onvia's valuation had risen 400% by the time of its second round...

8/8,K/5 (Item 4 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01902877 05-53869

**\*\*USE FORMAT 9 FOR FULL TEXT\*\***

Another face for venture capitalism? WORD COUNT: 3058 LENGTH: 6  
Pages  
Oct 1999  
GEOGRAPHIC NAMES: US

DESCRIPTORS: Equity financing; Internet; Startups; Venture capital  
CLASSIFICATION CODES: 3400 (CN=Investment analysis); 8130 (CN=Investment services); 5250 (CN=Telecommunications systems); 9190 (CN=United States)

ABSTRACT: Garage.com is a Palo Alto, California, firm that uses the **Internet** to match startups with angel **investors**, wealthy individuals who invest in companies that are usually below the radar of venture capital...

...com charges a fee equal to 5% of the funding, and it buys an equity **stake** of a few percent in each startup it assists. The firm is only one of...

... young private companies with potential investors online. Most of these firms seek to facilitate the **funding** process or become clearinghouses of information for angel investing or **venture** capital. ...

...TEXT: CEO. So Giesen turned to Garage.com, a Palo Alto, Calif., firm that uses the **Internet** to match startups with angel **investors**, wealthy individuals who invest in companies that are usually below the radar of venture capital...

... Stephen Pelletier, president and CEO of OffRoad Capital Corp. San Franciscobased OffRoad is using the **Internet** to match groups of angel **investors** with established startup companies, a mission Pelletier likens to "bringing order to the wild, wild..."

...incidentally, private equity site operators also see potential profits in their online aid to the **funding** process, although the **business** models are various and unproven.

For example, a Chicago firm called Venture Capital Online LLC...Posting pitches

The ways that firms offer incremental deal flow is as varied as the **number** of online private **equity** firms. For example, at the basic level are the numerous sites that essentially consist of...

...are trying to expand their individual investor base.  
"Companies want to build a base of **Internet**-savvy individual **investors**," Pelletier says, adding that a private company looking to raise \$20 million may raise \$15...

8/8,K/6 (Item 5 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01900151 05-51143

\*\*USE FORMAT 9 FOR FULL TEXT\*\*

A nation of traders WORD COUNT: 1911 LENGTH: 4 Pages

Oct 11, 1999

GEOGRAPHIC NAMES: US

DESCRIPTORS: Trends; Electronic trading; Social impact; Advantages;  
Disadvantages

CLASSIFICATION CODES: 9190 (CN=United States); 5250 (CN=Telecommunications systems); 3400 (CN=Investment analysis)

...ABSTRACT: online trading a good thing? Some refer to the investor-empowerment theory, which says the **Internet** is a good thing for **investors**. It pushed the securities industry to offer after-hours trading and to create new exchanges. But there is also the investor-excitability theory, which says the **Internet** just makes **investors** excited. ...

...TEXT: online broker, after Schwab, Fidelity, E\*Trade, Waterhouse, Ameritrade, and Quicken.

(Graph Omitted)

Captioned as: **NUMBER OF HOUSEHOLDS THAT OWN STOCK**

(Graph Omitted)

Captioned as: **ASSETS INVESTED ONLINE** In billions

(Graph Omitted)

Captioned as: **NUMBER OF...**

...mouse, through any one of scores of online brokers, you can buy and sell any **stock** anywhere in the world, day or night, for just a few bucks a trade. IPOs...

... course online brokerages are just the most high-profile venues of the Info Age personal-**finance** world. There are online banks. Online mortgage brokers. Online **business** news services. Investment chat rooms for cybersquabbling over stocks. In fact, an entire parallel e-universe of **financial** services has opened for **business** over the past year and a half. Meanwhile, back in the material world, all sorts ...

... about online trading," she says. "There is the investor-empowerment theory, which says that the **Internet** is a good thing for **investors**. It pushes the securities industry to offer after-hours trading and to create new exchanges...

... functions at companies. But there is also the investor-excitability theory, which says that the **Internet** just makes **investors** excited. It's a fact that the online experience increases trading. Clearly that's good...

8/8,K/7 (Item 6 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01880018 05-31010

\*\*USE FORMAT 9 FOR FULL TEXT\*\*

Crunch time WORD COUNT: 2280 LENGTH: 5 Pages

Sep 1999

GEOGRAPHIC NAMES: US

DESCRIPTORS: Mutual funds; Investment policy; Guidelines; Portfolio management

CLASSIFICATION CODES: 9190 (CN=United States); 3400 (CN=Investment analysis); 8130 (CN=Investment services); 9150 (CN=Guidelines)

...TEXT: would have conveniently erased its shabby record, but the Securities and Exchange Commission nixed that **idea**.

PBHG **funds**, which have been suffering from disappointing returns and corporate upheavals, saw three top managers jumpCaptioned as: **percentage** of domestic **equity** funds beating the S&P 500 index

net new investment in equity funds (in billions...

... fund investing: lower average expense ratios. Says John Rekenthaler, research director at Morningstar: "Pressure from **Internet**-savvy **investors** has led to lower costs for everything from online trading to book shopping. There's...

8/8,K/8 (Item 7 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01852414 05-03406

\*\*USE FORMAT 9 FOR FULL TEXT\*\*

Interorganizational endorsements and the performance of entrepreneurial ventures WORD COUNT: 15347 LENGTH: 35 Pages

Jun 1999

GEOGRAPHIC NAMES: US

DESCRIPTORS: Studies; Entrepreneurs; Going public; Endorsements; Effects; Regression analysis; Market value

CLASSIFICATION CODES: 9190 (CN=United States); 9130 (CN=Experimental/Theoretical); 3400 (CN=Investment analysis); 9520 (CN=Small business)

...TEXT: biotechnology-related equipment, and so on. While private, all 301 companies in our sample were **funded** by **venture** capital firms.

For young **venture**-backed companies, two crucial performance variables are the speed at which the company reaches an...

... often generates much-needed capital as well as the opportunity for equity holders to exchange **stock** for cash, so they too routinely wish to undertake an IPO quickly and always hope...of commercial potential. For both reasons, exchange relationships with central organizations in the biotech alliance **network** will be perceived by outside **parties** as a significant endorsement of a young company.

We defined a technologically prominent organization as...alliance count variable, we also included in the models a time-changing count of the **number** of non-venture-capital **equity** investors in each of the ventures in our sample. It is relatively common for established...

... that we modeled the hypotheses about the prominence of alliance partners, we controlled for the **number** of (non-venture-capital) **equity** investors to assess the incremental effect of the prominence of the investors.

We also used...population.

(Table Omitted)

Captioned as: Table 1

Model 2 adds the control variables for the **number** of alliances, **number** of organizational **equity** investors, and the amount of resources committed to a biotech venture by its alliance and...

... new alliance led to a 12-percent increase in the rate of going public. The **number** of organizational **equity** investors is also positive and significant. The amount of funding purveyed by alliance partners is... coefficient, the amount of funding from alliance partners is positive and nearly significant, and the **number** of non-venture-capital, organizational **equity** investors is positive but insignificant.

Models 3 through 7 add the five affiliate prominence variables...relations carry reputational consequences. Bearing this out, the positive effects of the count of the **number** of alliance partners and of the **number** of **equity** investors in the baseline models in table 3 and table 4 often dropped out once...

8/8,K/9 (Item 8 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01794341 04-45332

\*\*USE FORMAT 9 FOR FULL TEXT\*\*

No funding for your startup? Try a venture catalyst WORD COUNT: 917  
LENGTH: 2 Pages

Apr 12, 1999

COMPANY NAMES:

Garage-com

Interactive Minds

Artemis Ventures

GEOGRAPHIC NAMES: US

DESCRIPTORS: Venture capital companies; Trends; Venture capital;  
Manycompanies; Startups

CLASSIFICATION CODES: 9190 (CN=United States); 8130 (CN=Investment  
services); 3400 (CN=Investment analysis)

...TEXT: investors. Run by the charismatic former Apple evangelist Guy Kawasaki, Garage.com canvassed its elite **network** of Silicon Valley **investors** and set up meetings for Giesen. From these meetings, the company raised a total of...

... company's equity. Interactive Minds and Artemis each charge a monthly cash retainer or a **percentage** of a company's **stock** in return for their services. Founded last year by Comaford, an ebullient former entrepreneur, and...

... roughly \$5,000 a month. (In the future, Comaford will invest through a \$20 million **venture fund** rather than charge the fixed fee.)  
Interactive Minds, founded in 1995 by Haykin, a former...

... month. Interactive Minds also makes small investments in its eight companies from a \$5 million **venture fund** it manages.

These hybrid approaches to **venture** investing don't sit too well with some entrepreneurs, who resent giving up extra equity...

8/8,K/10 (Item 9 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01597812 02-48801

**\*\*USE FORMAT 9 FOR FULL TEXT\*\***

Stock or funds WORD COUNT: 3668 LENGTH: 8 Pages

Apr 1998

GEOGRAPHIC NAMES: US

DESCRIPTORS: Personal finance; Mutual funds; Stocks; Comparative analysis; Investment policy; Rates of return; Risk assessment; Capital gains  
CLASSIFICATION CODES: 9190 (CN=United States); 3400 (CN=Investment analysis); 4230 (CN=Personal taxation)

...TEXT: powerful PCs, affordable stock-screening programs on CD-ROM and dozens of sites on the **Internet** devoted to stock analysis, **investors** willing to expend the time and brain power can analyze the prospects of thousands of...large public libraries.

You can go further by using digital sources. For example, Morningstar's **Stock Tools** lets you screen for **stock** picks among 7,800 companies using as many as 150 criteria. Value Line also offers a CDROM version of its print service that expands its **stock** coverage to 5,000 stocks and allows for heavy-duty screening. But neither is cheap...  
... both by mail. For free data sources, start at a Web search engine like Yahoo! **Finance** (quote.yahoo.com) or Excite's **Business** and Investing by Quicken site (quicken.excite.com). There are dozens of high-quality low...

...could drop at precisely the moment your job becomes more tenuous.

So if a significant **portion** of your portfolio is invested in your employer's **stock** -say 10% or more-you could consider reducing that risk by buying stocks that will...

...Odean found that the average stock these investors bought underperformed the market by 2.7 **percentage** points in the next year. The average **stock** they sold, meanwhile, went on to outperform the market by 0.54 points over the...

8/8,K/11 (Item 10 from file: 15)  
DIALOG(R)File 15:(c) 2001 ProQuest Info&Learning. All rts. reserv.

01333101 99-82497

**\*\*USE FORMAT 9 FOR FULL TEXT\*\***

On-line capitalism WORD COUNT: 1038 LENGTH: 1 Pages

Nov 23, 1996

GEOGRAPHIC NAMES: US

DESCRIPTORS: Small business; Electronic trading; Going public; Equity financing; Internet; Advantages  
CLASSIFICATION CODES: 9520 (CN=Small business); 3400 (CN=Investment analysis); 5200 (CN=Communications & information management); 9190 (CN=United States)

...ABSTRACT: the lead set by Spring Street Brewing, a New York beer maker, which pioneered Internet **share** offerings when it raised \$1.6 million in February 1996. By appealing directly to investors...

...without spending a fortune on expensive underwriters. They can even sign up with a growing **number** of fledgling electronic **stock** markets, so that their shares can be traded. Already, some 15 online investment banks are...

... new technology. This trend could one day prove a potent threat to every sort of **financial** activity, from banking and accountancy to legal services, **venture** capital, and **share**-dealing.

...TEXT: new technology. This trend could one day prove a potent threat to every sort of **financial** activity, from banking and accountancy to legal services, **venture** capital and **share**-dealing.

To understand why, consider the intriguingly named Poof Products, which Mr Dallavecchia has owned...

... ride. Existing fundraisers are quick to point out that any smart crook can make an **Internet** offering. How might **investors** tell the real from the fake? A few Internet sites, such as the one run...

8/8,K/12 (Item 1 from file: 810)  
DIALOG(R)File 810:(c) 1999 Business Wire . All rts. reserv.

0547348 BW0010

TABULA INTERACTIVE: Investment Ideas for the Sell-Off; Highlights from 20+ Top Advisors on [www.INVESTTools.com](http://www.INVESTTools.com)

January 11, 1996

Byline: Business Editors/Multimedia Writers  
Word Count: 678

MENLO PARK, Calif.--(**BUSINESS WIRE**)--Jan. 11, 1996--Over 30 **stock** and mutual **fund** picks are featured prominently in the latest batch of newsletters published on **INVESTTools** -- just in...

...Place Like  
Semiconductors!" -- The Prudent Speculator, Jan. 3, 1996. Al Frank of The Prudent Speculator, **number** two by Hulbert Financial Digest for

15 year **stock** portfolio performance, believes the market may have fallen asleep in a field of poppies. His...  
...and research. Rather than offering another source of stock quotes and portfolio accounting on the **Internet**, **INVESTTools** provides top advisors' analyses. **Investors** can either browse through the collection of impartial advisory information, or quickly perform searches on...

8/8,K/13 (Item 1 from file: 275)  
DIALOG(R)File 275:(c) 2001 The Gale Group. All rts. reserv.

01671571 SUPPLIER NUMBER: 15074112 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
General quote/financial information services. (Buyers Guide)  
Annual, 1994  
WORD COUNT: 9531 LINE COUNT: 00831

DESCRIPTORS: System Selection; Hardware Selection; Software Selection; Directories; Software Packages; Stock Quotation Services; Financial Services; Decision Support Software; Program Trading (Securities); Online Information Service; Futures; Mutual Fund; Investments  
FILE SEGMENT: CD File 275



... Systems

IBM AT, 386/486, LANs, Stand-alone Market quotation & news system that give instant **stock**, bond, **fund**, option, index & futures quotes & **business** news. All data appear in the Windows environment. Users get 99 market Watch pages, time...VP; 215/644-9999, 800/682-2749, Fax: 215/647-4329

CrossCom Fixed Income Trading **Network**, Inc. CrossCom enables qualified institutional **investors** to tradedirectly and anonymously with other institutions and broker-dealers around the world. Corporate, high...for futures and options. Will keep track of all open and closed positions for any **number** of futures and options. Will print P&S statements, **equity** runs, etd. Keeps track of invested funds and margin.

Telemet America, Inc. Partners in Smart...

8/8,K/14 (Item 1 from file: 636)

DIALOG(R)File 636:(c) 2001 The Gale Group. All rts. reserv.

02713781 Supplier Number: 45505851 (USE FORMAT 7 FOR FULLTEXT)

Seed Fund **Network** Looks For Renewed SupportFrench **Investors**

Take Lead With New Proposals

May, 1995 °

Word Count: 1665

PUBLISHER NAME: Securities Data Publishing, Inc.

INDUSTRY NAMES: BANK (Banking, Finance and Accounting); BUSN (Any type of business); INTL (Business, International)

Seed Fund **Network** Looks For Renewed SupportFrench **Investors**

Take Lead With New Proposals

... in the "eligible" regions of the EC and that DGXVI was, indeed, looking at a **number** of proposals for directing **equity** funds into those parts of the Community which have been targeted for assistance.

An important...

...Entreprises).

10) Encourage the local authorities (Regions, departments and Communes) to contribute resources to the **venture funds** (SCR) and give priority to participations in SCR **funds** specialised in **business** creation. Complement these contributions with participations by organisations such as the CDC in the **share** capital of the specialist SDR funds.

Both UNIC and the champions of the ESCFN face...

8/8,K/15 (Item 1 from file: 621)

DIALOG(R)File 621:(c) 2001 The Gale Group. All rts. reserv.

02800752 Supplier Number: 70025931 (USE FORMAT 7 FOR FULLTEXT)

OneSource Posts Second Consecutive Profitable Quarter and First Profitable Year; Company Achieves Record Net Income, Revenues, and ACV in Fourth Quarter of 2000.

Feb 6, 2001

Word Count: 1386

PUBLISHER NAME: Business Wire

COMPANY NAMES: \*OneSource Information Services Inc.

PRODUCT NAMES: \*4811528 (Online Business Information Services)

INDUSTRY NAMES: BUS (Business, General); BUSN (Any type of business)

SIC CODES: 4822 (Telegraph & other communications)

NAICS CODES: 514191 (On-Line Information Services)

TICKER SYMBOLS: ONES

... as well as its strategy for growth. The call will be broadcast live

over the **Internet**. **Investors** interested in listening to the Webcast should log onto [www.onesource.com](http://www.onesource.com) at least 15...

...and management professionals with information such as news, trade press, executive biographies, analyst reports, company **financial** results, **stock** quotes and industry statistics. OneSource integrates **business** and **financial** information on over one million global public and private companies from more than 25 information...

...24,222			
Total current liabilities		42,479	36,306
Capital lease obligations, net of current <b>portion</b>			
	--	29	
Total liabilities		42,479	36,335
Stockholders' <b>equity</b> :			
Common <b>stock</b>			
	122	104	
Additional paid-in capital		30,309	28,504
Unearned compensation		(174)	(271)
Accumulated...			

8/8,K/16 (Item 2 from file: 621)  
DIALOG(R)File 621:(c) 2001 The Gale Group. All rts. reserv.

02783266 Supplier Number: 69256234 (USE FORMAT 7 FOR FULLTEXT)  
Fifth Third Bank Cites Functionality and Client Service as it Converts Mortgage Platform to Fiserv MortgageServ System.  
Jan 17, 2001  
Word Count: 1224  
PUBLISHER NAME: Business Wire  
COMPANY NAMES: \*Fifth Third Bank; Fiserv Inc.  
PRODUCT NAMES: \*6020000 (Commercial Banks); 7374300 (Specialized Computer Services)  
INDUSTRY NAMES: BUS (Business, General); BUSN (Any type of business)  
SIC CODES: 6020 (Commercial Banks); 7374 (Data processing and preparation)  
NAICS CODES: 52211 (Commercial Banking); 51421 (Data Processing Services)  
)  
TICKER SYMBOLS: FISV

... added. "This savings will be amplified by implementation of the MortgageServ browser-based default servicing **network** that connects all the **parties** in the default process together for ultimate work and information sharing."

Donald Andres Jr., Vice...  
...Michigan and Illinois. A leader in e-commerce, Fifth Third was named No. 1 e-**business** innovator by PC Week. The **financial** strength of Fifth Third's affiliate banks continues to be recognized by rating agencies with...

...releases are also available by fax at no charge by calling (800) 758-5804, identification **number** 281775. The company's common **stock** is traded in the over-the-counter market through the Nasdaq National Market System under...

8/8,K/17 (Item 3 from file: 621)  
DIALOG(R)File 621:(c) 2001 The Gale Group. All rts. reserv.

02691523 Supplier Number: 66208244 (USE FORMAT 7 FOR FULLTEXT)

OneSource Information Services, Inc. Achieves Profitability and Continues  
Growth in Third Quarter of 2000; Revenues and ACV Increase by 57%  
Year-over-year.

Oct 19, 2000

Word Count: 1733

PUBLISHER NAME: Business Wire

COMPANY NAMES: \*OneSource Information Services Inc.

GEOGRAPHIC NAMES: \*1USA (United States)

PRODUCT NAMES: \*4811528 (Online Business Information Services)

INDUSTRY NAMES: BUS (Business, General); BUSN (Any type of business)

SIC CODES: 4822 (Telegraph & other communications)

NAICS CODES: 514191 (On-Line Information Services)

TICKER SYMBOLS: ONES

... as well as its strategy for growth. The call will be broadcast live  
over the **Internet**. **Investors** interested in listening to the  
Webcast should log onto www.onesource.com at least 15...

...and management professionals with information such as news, trade press,  
executive biographies, analyst reports, company **financial** results,  
**stock** quotes and industry statistics. OneSource integrates  
**business** and **financial** information on over one million global  
public and private companies from more than 25 information...24,222

Total current liabilities	31,625	36,306
---------------------------	--------	--------

Capital lease obligations,  
net of current **portion**

--	29	
Total liabilities	31,625	36,335

Stockholders' **equity**:

Common **stock**

	117	104	
Additional paid-in capital		29,423	28,504
Unearned compensation		(198)	(271)
Accumulated...			

8/8,K/18 (Item 4 from file: 621)

DIALOG(R)File 621:(c) 2001 The Gale Group. All rts. reserv.

02464369 Supplier Number: 61689674 (USE FORMAT 7 FOR FULLTEXT)

The Body Shop International Partners with SOFTBANK Venture Capital to Form  
New e-Commerce Enterprise.

April 26, 2000

Word Count: 799

PUBLISHER NAME: Business Wire

COMPANY NAMES: \*Body Shop International PLC; Softbank Venture Capital

GEOGRAPHIC NAMES: \*4EUUK (United Kingdom)

PRODUCT NAMES: \*5999000 (Misc Retail Stores NEC)

INDUSTRY NAMES: BUS (Business, General); BUSN (Any type of business)

SIC CODES: 5999 (Miscellaneous retail stores, not elsewhere classified)

NAICS CODES: 453998 (All Other Miscellaneous Store Retailers (except  
Tobacco Stores))

... reserved for equity participation by The Body Shop franchisees. The  
transaction is subject to a **number** of conditions, including approval  
of the employee **stock** option plan by shareholders of The Body Shop  
international PLC. The \$15 million provided by SOFTBANK **Venture**  
Capital will **fund** the investment capital and operating expenses for  
the first development phase. The Body Shop is...

...initial investment in the new company but retains the right to  
participate in any future **funding** pro rata to its shareholding.

"A strong Internet-based **business** is an important element in

our multi-channel strategy to build and broaden our relationships...

...founder of Students for Responsible Business and an associate member of both the Social Venture **Network** and the **Investors** Circle.

"The key differentiator for The Body Shop Digital, even at this early stage, is...

8/8,K/19 (Item 1 from file: 148)  
DIALOG(R)File 148:(c)2001 The Gale Group. All rts. reserv.

13399879 SUPPLIER NUMBER: 71768718 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Why the Low Returns to Beta and Other Forms of Risk.  
Wntr, 2001  
WORD COUNT: 12665 LINE COUNT: 01000

INDUSTRY CODES/NAMES: BANK Banking, Finance and Accounting; BUSN Any type of business  
DESCRIPTORS: Rate of return--Models; Capital assets pricing model--Usage  
GEOGRAPHIC CODES/NAMES: 1USA United States; 4EUUK United Kingdom; 4EUBL Belgium  
PRODUCT/INDUSTRY NAMES: 9912130 (Econometrics & Model Building)  
FILE SEGMENT: TI File 148

... the right of the vertical line from the market clearing rate. This area indicates the **number** of investors (weighted) who believe the **stock** is worth purchasing, when it is priced to yield a certain rate of return (which...

...the optimists can differ sharply from the average opinion. A recent example is seen in **Internet** stocks, which most current **investors** feel are grossly overvalued. Theory explains this overpricing by noting that the price-setting optimists...OF OPINION AND RISK

If divergence of opinion about future returns affects prices and the **percentage** returns earned from the **stock**, it follows that, all other things equal, anything that is correlated with divergence of opinion ...stocks in several ways, and a low beta in the stock portfolio permits increasing the **percentage** of the assets allocated to stocks. A single **equity** manager can be promised more money to manage if the manager designs a low-beta...Market Performance of Initial Public Offers, Hong Kong, Singapore and Malaysia: 1978-1984." Journal of **Business Finance** and Accounting, 14 (1987), pp. 65-76.

Fama, Eugene F., and Kenneth R. French. "The...

8/8,K/20 (Item 2 from file: 148)  
DIALOG(R)File 148:(c)2001 The Gale Group. All rts. reserv.

12887592 SUPPLIER NUMBER: 66939694 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
The 2000 ALL-AMERICA RESEARCH TEAM. (of stock market analysts)  
Oct, 2000  
WORD COUNT: 40403 LINE COUNT: 03219

COMPANY NAMES: Merrill Lynch and Company Inc.--Achievements and awards; Morgan Stanley Dean Witter and Co.--Achievements and awards; Salomon Smith Barney Holdings Inc.--Achievements and awards; Credit Suisse First Boston--Achievements and awards; Goldman Sachs and Co.--Achievements and awards; Donaldson, Lufkin and Jenrette Inc.--Achievements and awards; Shearson Lehman Brothers Inc. Lehman Brothers Div.--Achievements and awards; PaineWebber Group Inc.--Achievements and awards; J.P. Morgan Securities Inc.--Achievements and awards  
INDUSTRY CODES/NAMES: BANK Banking, Finance and Accounting; BUSN Any type of business

DESCRIPTORS: Financial analysts--Achievements and awards; Research teams  
 --Achievements and awards; Investment banks--Achievements and awards;  
 Securities industry--Achievements and awards  
 GEOGRAPHIC CODES/NAMES: 1USA United States  
 NAMED PERSONS: Cohen, Abby Joseph--Achievements and awards; Blodget,  
 Henry--Achievements and awards; Camp, Jeffrey--Achievements and awards;  
 Kerschmet, Edward--Achievements and awards; Silverstein, Susan--  
 Achievements and awards; Hyman, Ed--Achievements and awards; Nash, Avi--  
 Achievements and awards; Ritrievi, Kimberly--Achievements and awards;  
 Rizzuto, Anthony Jr.--Achievements and awards; Schneider, Richard--  
 Achievements and awards; Binder, Steven--Achievements and awards; Wolfe,  
 Edward--Achievements and awards; Steinerman, Andrew--Achievements and  
 awards; Sprague, Jeffrey--Achievements and awards; Genco, William--  
 Achievements and awards; Yablon, Gary--Achievements and awards;  
 Levkovich, Tobias--Achievements and awards; Young, Phua--Achievements and  
 awards; Staphos, George--Achievements and awards; Buttrick, Samuel--  
 Achievements and awards; Girskey, Stephen--Achievements and awards;  
 Conway, Andrew--Achievements and awards; Zelman, Ivy--Achievements and  
 awards  
 PRODUCT/INDUSTRY NAMES: 6282000 (Investment Advisers); 6211300  
 (Investment Banking); 6211000 (Securities Dealers)  
 SIC CODES: 6282 Investment advice; 6211 Security brokers and dealers  
 NAICS CODES: 52393 Investment Advice; 52311 Investment Banking and  
 Securities Dealing  
 TICKER SYMBOLS: MER; MWD; DLJ; PWJ  
 FILE SEGMENT: MC File 75

... the number of a firm's places on the team is divided by its total  
**number** of **equity** analysts covering the sectors // surveys.

COMPLETION PERCENTAGES

WEIGHTING THE RESULTS

In this table firms are...multinationals like Citigroup and  
 processing-oriented institutions like Bank of New York Co. and Mellon  
**Financial** Corp., arguing the benefits of their diverse **business**  
 lines, steady fee income and global footprints. For the year ended in July,  
 regionals were...

...end of the first quarter, Chase had risen from 50 to 65. Even though the  
**stock** plunged to the low 40s in June on concerns about rising  
 expenses and volatility in...P. Morgan, Caitlin Long CSFB, Edward Spehar  
 Merrill Lynch

Industry perspective -- particularly an emphasis on  
**fundamental** metrics, such as the shift in **business** mix toward  
 higher-margin retirement products from less profitable premature-death  
 policies -- rockets Salomon Smith...

...York University MBA recognized as early as February 1998 that growth in  
 Conseco's life **business** was slowing. Then, in June 1999, in  
 collaboration with specialty-**finance** analyst William Ryan and the  
 firm's securitization group, Devine uncovered a dark truth: Conseco's  
 consumer **finance business**, especially the manufactured-housing  
 loans stemming from its 1998 acquisition of GreenTree Financial Corp., was  
 ...

...huge inventory of repossessed mobile homes, a sure sign of poor loan  
 quality. Conseco's **share** price dropped 46 percent, to 18, by the end  
 of 1999 and by July had...

...s Michael Blumstein, who slips from first to No. 3, impressed investors  
 less with specific **stock** picks -- despite an enviable track record --  
 than with his industry evaluations and accessibility. "Mike always...sees  
 problems before they happen," comments one admirer. Togut, 36, has focused  
 on companies undertaking **fundamental business** changes to drive  
 accelerating long-term growth; his top picks consist of billing-services

company...

...like Electronic Data Systems Corp. and Computer Sciences Corp., though he did not recommend either **stock**. Such a call was astute, clients say, noting the companies' early summer slide. Investors also...

...trading at 45 by early August, and DST Systems, named a Merrill Lynch Focus 1 **stock** this March at 58, ascended to 94 5/8 by early August. Throughout 1999 and...telephone company network planners -- concluding that demand for instantaneous Internet access would lead "the optical **network** to happen faster than **investors** expected." Four moneymaking picks grew out of this theme: Avanex, Ciena Corp., JDS Uniphase and...Bernstein in December 1999 steered clients toward utilities and REIT **stocks** based on their improving **business fundamentals**, attractive valuations and historically positive performance during periods of rising rates. Year-to-date through...

...thumb to spot long-term trends in capital spending, dividend yield, M&A activity and **stock** buybacks, as well as metrics to determine how each factor affects a company's **stock** price. Over the past year such research has led the repeat second-teamer to be...

8/8,K/21 (Item 3 from file: 148)  
DIALOG(R)File 148:(c)2001 The Gale Group. All rts. reserv.

11080036 SUPPLIER NUMBER: 54750280 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
How long will they fly?(some 200 Internet-related companies are expected to go public in 1999, with uncertain effects on the stock market)  
May 31, 1999  
WORD COUNT: 1626 LINE COUNT: 00135

INDUSTRY CODES/NAMES: BUS Business, General; BUSN Any type of business  
DESCRIPTORS: Going public (Securities)--Forecasts; Internet--Economic aspects  
GEOGRAPHIC CODES/NAMES: 1USA United States  
FILE SEGMENT: MI File 47

... many untried ideas, "quality will be the problem," says Mary Meeker, Morgan Stanley's star **Internet** analyst. "**Investors** are starting to say 'I'm going to pick my spots.' "  
No one is suggesting...

...pain."

Overprotected. The fact is, even in emerging industries, most new companies fail. So far **Internet investors** have been shielded from that reality. They have pumped most of their money into only 20 or so stocks. Company insiders hold such a high **percentage** of common **stock** that the amount available for public trading is cut in half or more. That's...role.

VC nation. Trouble is, most individual investors don't have the resources or the **financial** acumen of a **venture** capitalist. In fact, much of the Net **stock** frenzy has been driven by the burgeoning ranks of individual "day traders" online. What they...

8/8,K/22 (Item 4 from file: 148)  
DIALOG(R)File 148:(c)2001 The Gale Group. All rts. reserv.

05793133 SUPPLIER NUMBER: 11922590 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Venture capital companies. (Directory)  
Jan 31, 1992  
WORD COUNT: 2703 LINE COUNT: 00239

INDUSTRY CODES/NAMES: REG Business, Regional  
DESCRIPTORS: Venture capital companies--Directories; Arizona--Services  
GEOGRAPHIC CODES: NNUSTAZ  
GEOGRAPHIC NAMES: Arizona  
SIC CODES: 6799 Investors, not elsewhere classified  
FILE SEGMENT: TI File 148

... sale/leaseback, SBA, syndications, working capital, bridge  
financing, employee stock ownership plans, off-balance sheet  
**financing**

Type of company: **Venture** capital Top Arizona officer: William M.  
Howard, president Year established: 1970 **Number** of employees: 3 plus  
contracts Specialty: **Equity** investments in financially troubled  
companies Other services: Debt restructuring, reorganization strategies,  
crisis management and turnaround...  
...million Overall: \$78 million Volume last 12 months in Ariz.: \$1 million  
Overall: \$7 million **Number** of **equity** deals last 12 months in  
Ariz.: 3 Overall: 10 Estimated volume for 1992: \$2 million...

...of employees: 2 Specialty: Early stage technology, focused growth  
companies Investment portfolio overall: \$3 million **Number** of  
**equity** deals last 12 months overall: 5 Geographic preferences: Mainly  
Arizona Participate in financing with another...

...million Overall: \$100 million Volume last 12 months in Ariz.: \$2 million  
Overall: \$9 million **Number** of **equity** deals last 12 months in  
Ariz.: 1 Overall: 6 Work with broker, finder? Yes Participate...500,000  
Overall: \$6 million Volume last 12 months in Ariz.: 0 Overall: \$450 million  
**Number** of **equity** deals last 12 months in Ariz.: 0 Overall: 2  
Estimated volume for 1992: \$500 million...

...the business Will not consider: Computer/electronics, real estate,  
multilevel marketing Data required to consider **financing**: Full  
**business** plan Average time to complete transaction: 10 months Fee  
structure: Equity participation in company Will...

...Venture capital Overall investment portfolio: \$95 million Overall volume  
last 12 months: \$8 million Overall **number** of **equity** deals last  
12 months: 6 Work with broker, finder? Yes Participate in financing with  
another...

...Ariz.: 0 Overall: \$21 million Volume last 12 months in Ariz.: 0 Overall:  
\$1 million **Number** of **equity** deals last 12 months in Ariz.: 0  
Overall: 4 Estimated volume for 1992: 0 Overall...de Broekert, CEO,  
president Year established: 1990 Number of employees: 2.25 Specialty: A  
licensed **network** matching entrepreneurs seeking capital with  
**investors** Other services: Matchmaker services on a fee basis  
Affiliation, parent company: University of New Hampshire...

...million Overall: \$30 million Volume last 12 months in Ariz.: \$2 million  
Overall: \$4 million **Number** of **equity** deals last 12 months: 2  
Overall: 3 Estimated volume for 1992: \$2 million Overall: \$3...

...Geographic preferences: None Participate in financing with another  
entity? Yes

#### COMMERCIAL REAL ESTATE

Type of **financing**: Straight equities

#### EQUITY INVESTMENTS

Type of **financing**: **Venture** capital (preferred **stock**,  
common **stock**, convertible debt) Size of investments: \$500,000 to \$3  
million Preferred holding period: Less than...

8/8,K/23 (Item 5 from file: 148)

DIALOG(R)File 148:(c)2001 The Gale Group. All rts. reserv.

05792091 SUPPLIER NUMBER: 11866708 (USE FORMAT 7 OR 9 FOR FULL TEXT)

The M&A Rosters; third quarter 1991.

Jan-Feb, 1992

WORD COUNT: 104170 LINE COUNT: 10201

INDUSTRY CODES/NAMES: BUS Business, General

DESCRIPTORS: Consolidation and merger of corporations--Statistics;

Foreign investments--Statistics; Investments, American--Statistics

GEOGRAPHIC CODES: NNUS

FILE SEGMENT: TI File 148

... and radioactive compounds, and provides commercial physical research and computer time sharing services. The uranium **business** of Chevron consists of the production, milling, and sale of uranium. Operations are located in...from Kilroy Co. of Texas for \$27 million. Principals: Nuevo Energy is engaged in the **business** of an independent oil and gas company, including acquisition and exploitation of producing properties; development...consideration. The transaction was subject to approval by the U.S. Maritime Administration. Principals: Patriot **Investors**, through its majority owned Patriot Shipping Inc. unit, is a U.S. shipping concern. Enerchem...acquired Missouri Telephone for \$85 million. Principals: ALLTEL, through its subsidiaries, provides local, toll, and **network** access services to customers in 25 states through 597 exchanges. It is also engaged in...KOKH-TV from George Gillette Jr. for \$7.3 million in cash, notes, and Heritage **stock**. Principals: Heritage Media, through its wholly owned Actmedia Inc. unit, is the largest provider of...not disclosed. The Home Health Care division of Perry Drug Stores includes its Comfort Care **business**, which operates home care retail outlets and provides services that include infusion therapy, home medical ...marketing the products. The three nonprescription pharmaceuticals of Johnson & Johnson-Merck Consumer Pharmaceuticals, a joint **venture** between Johnson & Johnson and Merck & Co. Inc., are Probec-T, a vitamin tablet with a...acquired Synchronal Group and its affiliates for \$18.28 million in cash, notes, and preferred **stock**. Under terms of the agreement, Synchronal would receive \$4.5 million in cash, \$3 million in promissory notes, and \$10.78 million in two classes of preferred **stock** of a subsidiary of Regal. Former Synchronal shareholders would be entitled to an earn-out...Savings & Loan Association in a transaction whereby Albemarle converted from a mutual to a capital **stock** savings bank and the simultaneous acquisition by BB&T. The transaction was subject to regulatory...

...approved the agreement. In connection with the conversion and acquisition, shares of BB&T common **stock** were offered in a subscription offering to eligible account holders as of February 28, 1990 ...The Federal Reserve Board had approved Boatmen's application to acquire all of the voting **stock** of First Interstate on June 17, 1991. Principals: Boatmen's Bancshares is a bank holding...

...a highly diversified loan portfolio, foreign currency market-making, cash management, correspondent banking, and public **finance**. Its retail operations include consumer lending and certain preferred service programs. First Interstate Bank of...a definitive agreement and acquired Promenade Bancshares for \$9.182 million in cash. Each Promenade **share** was to be converted into the right to receive cash payments based on \$15, subject...to a stock company and First Citizens simultaneously acquired First Federal. First Citizens offered a **number** of its Class A common **stock** determined at the close of the offering by dividing the valuation of First Federal by...the transaction. For every \$1 that the average price exceeded \$21 per share, the cash **portion** of the **stock** and cash consideration to be received by shareholders electing



the stock exchange was reduced by...

8/8,K/24 (Item 1 from file: 20)  
DIALOG(R)File 20:(c) 2001 The Dialog Corporation. All rts. reserv.

10468369 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
Internet Firms Learn of Tuesday's Speedy Losses at Light Speed  
April 05, 2000  
WORD COUNT: 613

DESCRIPTORS: Market News; Market Reports  
COUNTRY NAMES/CODES: United States of America (US)  
REGIONS: Americas; North America; Pacific Rim  
SIC CODES/DESCRIPTIONS: 6231 (Security & Commodity Exchanges); 7375  
(Information Retrieval Services)  
NAICS CODES/DESCRIPTIONS: 52321 (Securities & Commodity Exchanges); 514191  
(On-Line Information Services)

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... don't let 15 hours of personal time bother me."  
FinanceVision joins a host of **Internet** services to  
**Investors**. Most offer stock quotes, background information on  
companies and **business** news services.  
**FinanceVision** adds a streaming video presentation from 9 a.m. to  
5 p.m. every day with live interviews and reporters for the Nasdaq and New  
York **Stock** Exchange.  
The format has a small box for the television **portion** of the  
show, a section with an individual's personal **stock** portfolio, a  
general news section that is similar to Yahoo's normal business sections  
and...

8/8,K/25 (Item 2 from file: 20)  
DIALOG(R)File 20:(c) 2001 The Dialog Corporation. All rts. reserv.

08592291 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
AT&T Unveils Plan to Sell Shares in Wireless Division  
December 07, 1999  
WORD COUNT: 1039

COMPANY NAMES: AT&T Corp  
DESCRIPTORS: Company News  
COUNTRY NAMES/CODES: United States of America (US)  
REGIONS: Americas; North America; Pacific Rim  
PROVINCE/STATE: New York  
SIC CODES/DESCRIPTIONS: 4813 (Telephone Communications Ex Radio)  
NAICS CODES/DESCRIPTIONS: 51331 (Wired Telecommunications Carriers)

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... that growth. They include:  
-- The creation of a tracking stock next year for its wireless  
**business**, which would free up **funds** for **network**  
improvements and allow **investors** a sharper picture of the  
high-flying unit's performance.  
-- An expansion of its fledgling...  
... T shareholders. A tracking stock is a security tied to the performance  
of a single **portion** of a company's business. It does not represent an  
**ownership** stake in the business, so AT&T will continue to own the  
group's assets...

8/8,K/26 (Item 3 from file: 20)  
DIALOG(R)File 20:(c) 2001 The Dialog Corporation. All rts. reserv.

03827992  
Vredegoor swears by capital injection (Vredegoor zweert bij  
kapitaalinjecties)  
December 22, 1998  
WORD COUNT: 208

DESCRIPTORS: Strategy; Company News; Expenditure  
COUNTRY NAMES/CODES: Netherlands (NL)  
REGIONS: Europe; European Union; Western Europe  
SIC CODES/DESCRIPTIONS: 6799 (Investors NEC)

...entertainment.

Vredegoor has made his speciality the financial rounds which precede a stock market flotation. "**Financing** is nearly as important as the **idea** and quality of the management. The company plan must be adapted continually as do the...

... time an innovative company under the wing of Amstelvission needs money, Vredegoor turns to his **network**, which includes some 200 private **investors** as well as participation companies, **stock** market brokers and bankers with well-off clients. Vredegoor also participates himself in a **number** of companies including the **stock** market fund DNC De Nederlandse Compagnie as well as **stock** market debutante Ring!Rosa Products and network manager Internoc. He does not believe this leads...

8/8,K/27 (Item 1 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00846232 \*\*Image available\*\*  
WATER MANAGEMENT SYSTEM  
SYSTEME DE REGULARISATION DES EAUX  
Main International Patent Class: G01W-001/00  
International Patent Class: C02F-001/00; G06F-017/60; E03F-001/00;  
G06F-015/54  
Publication Language: English  
Filing Language: English  
Fulltext Availability:  
Detailed Description  
Claims  
Fulltext Word Count: 32347

Fulltext Availability:  
Detailed Description

Detailed Description  
... them.

Data in possible solutions field 1220 represent a list of solutions that the present **invention** considers in making recommendations for particular **fundamental** problems 1205 of reservoir 905. It is important to note that for a particular reservoir...

...factors include the makeup of terrain 945, makeup of aquatic systems 950, attempted solutions 920, **number** of people served 925, **ownership** type 935, uses 940, and so forth (FIG. 9). The present invention considers the unique...more costly that solution will be to implement, Thus, knowing how to work with this **network** of involved

**parties** is very important to the success of any solution, whether it is at the federal, state, and/or private level.

The **network** of influential **parties** will differ depending on the ownership of the reservoir and land within the watershed. Most...

8/8,K/28 (Item 2 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00828878

SYSTEM AND METHOD FOR BUSINESS TO INVESTOR EXCHANGE FOR RAISING CAPITAL AND  
FOR CREATING A SECONDARY MARKET FOR PRIVATE EQUITY  
SYSTEME ET PROCEDE D'ECHANGE ENTRE ENTREPRISES ET INVESTISSEURS POUR LA  
MOBILISATION DE FONDS ET POUR LA CREATION D'UN MARCHE SECONDAIRE DE  
SOUSCRIPTIONS PRIVEES

Main International Patent Class: G06F-017/00

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 5927

Fulltext Availability:

Detailed Description

Detailed Description

... companies, etc.) are now investing directly in private companies to pick up incremental return. Additionally, **venture** capital **funds** continue to invest at record paces. However, until the full sale or a secondary public...

...fact that "the performance of venture capital has almost no correlation with

I

I the **stock** market." Despite the fact that all this money keeps pouring in, there is still no...

...present a brief video or other audio-visual presentation by the actual entrepreneur over a **network** to those **investors** who are interested in potentially investing in the business opportunity.

It is a further objective...corporations, and founders.

3

I Founders and officers are able to liquidate a non-material **portion** of their **equity**, enabling diversification, providing liquidity, and capitalizing on the progress of the company.

One aspect of...

...agreements are also stored in the storage associated with the systems server of the present **invention**. For example **share** holders agreements, **business** plans, **financial** information, capitalization tables, corporate 3 1 charters, are all documents that will be readily accessible...below.

In a basic embodiment, the present invention auctions venture-backed private equities over the **Internet** to qualified **investors**. Typical sources for the private equities are pre-IPO securities and securities from pulled IPO...

...18, and 20 to the individual investors 24 and the institutional

investors 26 over the **Internet** 22. The **investors** can then view the five minute video presentation and, if interested, can review an associated...

8/8,K/29 (Item 3 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00806392

TECHNOLOGY SHARING DURING ASSET MANAGEMENT AND ASSET TRACKING IN A  
NETWORK-BASED SUPPLY CHAIN ENVIRONMENT AND METHOD THEREOF  
PARTAGE TECHNOLOGIQUE LORS DE LA GESTION ET DU SUIVI DU PARC INFORMATIQUE  
DANS UN ENVIRONNEMENT DU TYPE CHAÎNE D'APPROVISIONNEMENT RESEAUTEE, ET  
PROCEDE ASSOCIE

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 156214

Fulltext Availability:

Detailed Description

Detailed Description

... in

accordance with. a preferred embodiment;

Figure 40 is a control flow diagram illustrating the **Network** Call

Identifier (NCID) switch call

processing in accordance with a preferred embodiment;

Figure 41 is...two portions are handled by protocols, or standard conventions for communication intelligently, the first by **network** protocols and the second by higher level protocols. Each of 1 5 these protocols has...between the individual user system and the respective DCE with which it interfaces to the **network** is governed by the X.25 or similar protocol. In essence, X.25 establishes procedures...5 1

Technology

The main goal of the technology solution is to provide access to **network** information to make informed decisions. The present invention includes three layers of management: element...Event Mapping Module - Add-on module to the Managed Networked Services Integrated Solution which maps **network** element events, to service offerings, to customers. This tool allows the Customer Service Representative to... Access Control Point (Session Control)

□ Similar to a switching node on an SS7 circuit switched **network**.

□ First or Last Access Point in the network

0 Provides actual call / session handling, routing...

...networks and cross geographical boundaries. It keeps in constant contact with other 1 0 cross **network** location registers of the geographically dispersed but inter-connected networks, exchanging accounting, service feature profile...a Proactive Threshold Management Process 4700 in accordance with a preferred embodiment of the present **invention**. The process begins with a monitoring step 4702. In step 4702, the Proactive Threshold Manager...on behalf of the customer, to authorize a commercial transaction on behalf of such a **financial** institution, without the risk of exposing that information to interception by third parties. Such institutions...systems are known, although virtually none implement complex pricing policies. Many systems, especially in the **stock** brokerage area, will provide market pricing of stocks. While these systems can accommodate a continually...and. third party sites. Optionally, the content may be

inatched to particular users via configurable **business** rules.

#### ADMINISTRATIVE AND **FINANCIAL** WEB APPLICATION SERVICES

Another embodiment of the present **invention** is provided for affording a combination of web application services to manage administration of the...

...accomplish this, information on employment opportunities is managed and organized. Further, information relating to the **stock** markets and corporate financial information is output. Information on legal services is also provided.

ONLINE...

...selected by the users submitting the resumes.

#### SHAREHOLDER SERVICES

Provides personalized stock tickers

Displays corporate **financial** information

The content channels component of the present **invention** provides a customizable display including personalized **stock** tickers, links to corporate financial information, and an online brokerage service. Other shareholder services could...accidental code overwriting

Generates site maps

Maintains metadata for content

One embodiment of the present **invention**, illustrated in Figure 53 as component 5308, is provided for affording a combination of content...

8/8,K/30 (Item 4 from file: 349)

DIALOG(R) File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00806382

METHOD FOR AFFORDING A MARKET SPACE INTERFACE BETWEEN A PLURALITY OF MANUFACTURERS AND SERVICE PROVIDERS AND INSTALLATION MANAGEMENT VIA A MARKET SPACE INTERFACE

PROCEDE DE MISE A DISPOSITION D'UNE INTERFACE D'ESPACE DE MARCHE ENTRE UNE PLURALITE DE FABRICANTS ET DES FOURNISSEURS DE SERVICES ET GESTION D'UNE INSTALLATION VIA UNE INTERFACE D'ESPACE DE MARCHE

Main International Patent Class: G06F-017/00

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 170977

Fulltext Availability:

Detailed Description

#### Detailed Description

... order to cash, duplication reduction, simplified processes, and manufacturing capacity utilization.

Turning now to the **Network** Asset Management component column, benefits for the service provider for the Network Asset Management component...however, which are electrical interfaces used as the multiplexing mechanisms within SONET Network Elements (NE). **Network** elements combine STS- Is as needed up to STS-N where N is the number... compatible enhancement of X.25 protocol.

46

For a communication session to proceed between the **parties** to a connection, it is essential that data be presented in a form that can... the purpose of traffic control. Reduced levels of network capacity can

result in requests to **Network** Planning for more resources.

Figure 14 is a flowchart illustrating a network data management process ...a physical path from the originating telephone to the receiver's telephone. A circuit-switched **network** attempts to form a dedicated connection,

101

or circuit, between these two points by first...standardization challenge is addressed by using a comprehensive library of all possible message types and **network** events categorize the numerous messages that the NGN generates.

Figure 45 is a flowchart showing...

...the fault message is created utilizing a comprehensive library of all possible message types and **network** events which categorizes the numerous messages that the hybrid network generates,

Figure 46 is a...or Billing.

#### Customer Support Structure

The organization model for customer service support in the NGN **network**

provides a single point of contact that is customer focused. This single point of contact...is written from scratch, making the development process long and expensive. Although the nuggets of **business** information that a data mining application discovers can be quite valuable, they are of little...

...showing a Data Mining Process 5200 in accordance with a preferred embodiment of the present **invention**. The Data Mining Process 5200 begins with an identifying step 5202. In step 5202, the...WAP in this document) that secures, administers, and audits electronic information use. WAF also features **fundamentally** important capabilities for managing content that travels "across" the "information highway." These capabilities comprise...certain control information that may be acceptable to control information representing one or more other **parties** interests and/or responds to certain user interface queries for selection of certain alternative choices...taxes derived from electronic transaction revenue, and  
(3) the proprietary and/or other rights of **parties** related to ownership of, distribution of, and/or other commercial rights related to, electronic information.

WAF...that accesses the HTML formatted documents stored on the HTTP servers connected to the global **Internet**. The client browser program retrieves the formatted information and provides the information in an appropriate...

8/8,K/31 (Item 5 from file: 349)

DIALOG(R) File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00798820

A DIRECT STOCK PURCHASE SYSTEM AND METHOD FOR IMPLEMENTING THE SAME  
PROCEDE ET SYSTEME D'ACHAT D'ACTIONS DIRECT, ET PROCEDE DE MISE EN OEUVRE

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 5924

Fulltext Availability:  
Detailed Description  
Claims

#### Detailed Description

... become interested in offering investors the opportunity to enroll in their CSP plans over the **Internet**. Currently, some companies allow **investors** to visit their web sites and download a form for purchasing stocks from the companies...

...with customers who want to purchase the company's equity. The system includes a direct **stock** purchase system, a transfer agent/plan administrator, and a payment system. The customer/investor accesses the system through the direct **stock** purchase system. The system obtains enrollment information from the investor and forwards the information to the transfer agent. The transfer agent processes the enrollment requests and returns **stock** information from the Open Market [please define Open market] to the direct **stock** purchase system. The system accommodates a variety of different payment mechanisms and obtains investments and fees directly from the investor's bank or another **financial** account.

It is another object of the **invention** for the direct **stock** purchase system to include a client application, which is a Web application; a Web server...

#### Claim

... telephone number, an e-mail address, credit card information, financial information and a social security **number** to register with the system and purchase **equity** on-line. I 10. The system of claim 9, wherein the system checks that the...

8/8,K/32 (Item 6 from file: 349)

DIALOG(R) File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00797970 \*\*Image available\*\*  
INVESTMENT ADVICE SYSTEMS AND METHODS  
SYSTEMES ET PROCEDES DE CONSEIL EN INVESTISSEMENTS  
Main International Patent Class: G06F-017/60  
Publication Language: English  
Filing Language: English  
Fulltext Availability:  
Detailed Description  
Claims  
Fulltext Word Count: 22051

Fulltext Availability:  
Claims

#### Claim

... brokerage and financial analyst industries have developed a number of electronic systems accessible over the **Internet** to provide users, e.g., **investors** with investment advice. The term "user" as used herein encompasses both an individual investor and...either be a financial planner 140 and/or an online user 142. Thus, the present **invention** contemplates serving a variety of users including a traditional **financial** planner managing people's assets an individual investor. Regardless of the identity of the online...

...holdings. The account for corporate actions 132 can receive data feeds that provide information on **stock** splits and dividends to maintain accurate information regarding holdings associated with accounts. In addition, the...original size of the lot. The actual size of the lot varies depending upon the **number** of sales linked to that block of

**stock**. The system can maintain the actual size of the lot either by adding a field...by the trade advisor 158 of FIG. 2B. The information includes the stock rating, the **number** of accounts under the user's management that hold that **stock**, and the total value held by the accounts under management. The user can choose to...one or more parameters. The parameters include words in the account name, account value, cash **percentage**, performance, benchmark, risk, **stock** rating, and **stock** holding value. Once the user has entered the parameters of interest, the user can submit...In FIG. 17A, one embodiment of an investment advice system (IAS) 102 according to the **invention** operates between a **financial** institution 100 and a broker 104 or planner 140. In FIG. 17B, the IAS 102...

...portfolio's risk/reward balance, and the impact of the decisions on the user's **stock** holding rating as determined by advisors either separately or collectively. The system 300 can also...

...a high level of integration with development management tools such as Visual Source Safe.

Scalability

**Financial** planners other highly trained personnel can use the present **invention** as a productivity tool. Therefore, the degree of performance required is much higher than that...

8/8,K/33 (Item 7 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00761422

BUSINESS ALLIANCE IDENTIFICATION  
SYSTEME, PROCEDE ET ARTICLE DE PRODUCTION POUR L'IDENTIFICATION D'ALLIANCES  
COMMERCIALES DANS UN CADRE D'ARCHITECTURE RESEAU

Main International Patent Class: G06F-017/60

Publication Language: English

Filing Language: English

Fulltext Availability:

Detailed Description

Claims

Fulltext Word Count: 149371

Fulltext Availability:

Detailed Description

Detailed Description

... to clearly articulate all the services that would be provided in any type of new **business** offering. In operation 24 of Figure 1A, the components of the system are indicia coded...1.8 transactions. Business I echeck server verifies digital signatures, processes checks according to the **business** rules of the bank (e.g. a check over \$25,000 requires two signatures), returns...under central control.

Within personal folders, allow users to create any folder structure.

Clearly assign **ownership** for the contents of each folder.

Document each folder, either in a central location, or...where security is a factor, the way in which team members gain access to the **Internet** must be carefully considered. For example, on high security projects, it is often the case...add color to the data model is useful for communicating additional dimensions such as data **ownership**.



k) Is entity life history required to be documented?  
The data modeling tools must support...

8/8,K/34 (Item 8 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00738060 \*\*Image available\*\*  
INTEGRATED CAPITAL MARKET SYSTEM FOR SMALL ISSUERS, INCLUDING AUCTION  
SYSTEME INTEGRE DE MARCHES DES CAPITAUX POUR PETITS EMETTEURS, AVEC  
ENCHERES

Main International Patent Class: G06F-017/60  
Publication Language: English  
Filing Language: English  
Fulltext Availability:  
Detailed Description  
Claims  
Fulltext Word Count: 18966

Fulltext Availability:  
Detailed Description  
Claims

#### Detailed Description

... The two main sources of outside equity capital for private companies are individual investors and **venture capital funds**. Investment banks also provide some outside equity for private firms, but they tend to handle...

...largest private transactions (typically \$30 million and up) and are considerably smaller total sources than **venture funds** or individual 15 investors. **Venture capital** is often thought of as the primary source of outside equity financing for companies seeking to grow large enough to raise capital in the public **stock markets**. This impression is mistaken. **Venture funds** have high profiles, are well organized, and play an important role in the capital formation process, the funds provided by individual investors are substantially larger than the **funds** raised through **venture capital**.

In addition to raising private equity, a developing firm may choose to enter the...

...From that time to the present, wealthy individuals have always been the primary source of **funds** for outside equity in **business enterprises** in which **ownership** was separated from management. These individual outside investors are now often called "angels." In the United States today, individual investors provide, in total, twice the **funds** to private companies provided by **venture funds** (NSSBF, 1993). There are roughly 300,000 individuals who invest in private companies, and they...

...Small Business Investment Company Act, festooned with tax advantages, to stimulate the formation of Small **Business Investment Companies** (SBICs) to facilitate small **business financing**. The program failed to stimulate much additional investment.

**Funds** flowing to **venture capital** increased substantially during the late 1970s and early 1980s. One factor accounting for the...

...pension fund investments. Prior to 1979, the Employee Retirement Income Security Act (ERISA) inhibited pension **funds** from investing much money into **venture capital** and other high risk assets. The Department of Labor's clarification of the prudent...

...as part of a diversified portfolio. In 1978, individuals accounted for 32 percent, the largest **share**, of the total \$424 million in new **venture funds**. Pension funds supplied only 15 percent. Eight years later, pension funds accounted for more than half of the more than \$4 billion in contributions. There was another leap in **venture** capital activity in 1996 and 1997.

**Venture funds** will **finance** early stage companies with no tangible assets as well as more mature private companies with customers and revenues. **Venture funds** often monitor the managers of their companies intensively, require representation on the board of directors of the companies in which they invest, and structure their interest as preferred **stock** with restrictive covenants in order to protect their interests. Venture capitalists provide a high level...

...they finance, and charge high prices accordingly. The minimum cost to the startup firm for **venture** capital **financing** is 20 percent of the investment (in the form of an equity interest given to... facilitate review and analysis; (b) methods and means of disseminating relevant information to a qualified **network** of **investors**; (c) facilitation of dialog among investors and between investors and the issuer on a timely...for a capital market system, enabling companies to raise capital funds from a secure, private **network** of accredited **investors** who seek to purchase the unregistered securities of the companies. More specifically, the present invention...decrease in the minimum price of a sale bid  
Secondary auction An auction where any **number** (limited to the amount of **stock** outstanding) of sale bids can be made  
Speedup Auction extension in which the quiet period...

#### Claim

... 3 The method of claim 1 further comprising the step of providing a secure communication **network** operable to allow accredited providers **investors** to communicate with each other and the issuers in confidence.

4 The method of claim...

...securities.

5 The method of claim 4 wherein the step of providing a secure communication **network** includes requiring the accredited **investors** to execute a legally binding non-disclosure agreement electronically before controlled access to confidential information a **network** of accredited **investors** operable to execute the first through fourth software modules.

28 Database software for operating a...

8/8,K/35 (Item 9 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00515306 \*\*Image available\*\*

METHOD AND APPARATUS FOR ENABLING INDIVIDUAL OR SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS

PROCEDE ET APPAREIL PERMETTANT A DES PARTICULIERS, DES PETITS INVESTISSEURS OU AUTRES DE CREER ET GERER UN PORTEFEUILLE DE TITRES OU AUTRES SUR UNE BASE EFFICACE EN TERMES DE COUT

Main International Patent Class: G06F

Publication Language: English

Fulltext Availability:  
Detailed Description  
Claims  
Fulltext Word Count: 33412

Fulltext Availability:  
Detailed Description

#### English Abstract

...the investor from being presented with unwanted taxable effects due to discretionary sales transactions of **fund** managers. In addition, the computer-based system of the present **invention** provides all the information necessary to monitor and manage tax effects and capability to sell...

...shareholder rights with respect to each security in the portfolio to the investor and full **ownership** and control over all investment, voting and other decisions regarding such securities. The computer-based...

#### Detailed Description

... match order flow and, of course, concentrate order flow during the day by limiting the **number** of persons who can trade a security (one specialist per **stock** on the New York Stock Exchange so that order flow at the Exchange in a...funds, and over those systems that purport to monitor portfolios, either of securities or of **funds**.

The computer-based system of the present **invention** includes the capability to allocate suggested holdings to the investor to create a diversified portfolio (which likely will include fractional **share** interests in stocks). The portfolio created by the computer-based system of the present invention...by adding a stock that is not otherwise included in the portfolio and specifying the **percentage** to be allocated to that **stock**.

The investor is also provided the opportunity to specify whether some or all stocks should...

...executing the order immediately and assuming the price movement risk as a pre-aggregator), the **number** of shares of any particular **stock** to be allocated to a particular portfolio needs to be somewhat approximate to accommodate price...investor.

I 0 It is important to note that while the capabilities of the present **invention** to trade in **stock** and mutual **funds** has been discussed, the system and method of the present **invention** is equally well suited to any tradeable security where economies of scale are of importance...up modem could also be available, for those who wish not to rely on the **Internet**, or **investors** could also access the system through an intermediary that possesses its own security controls and...

8/8,K/36 (Item 10 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00418748 \*\*Image available\*\*

SYSTEMS AND METHODS FOR SECURE TRANSACTION MANAGEMENT AND ELECTRONIC RIGHTS PROTECTION

SYSTEMES ET PROCEDES DE GESTION DE TRANSACTIONS SECURISEES ET DE PROTECTION DE DROITS ELECTRONIQUES

Main International Patent Class: G06F-001/00

Publication Language: English

Fulltext Availability:  
Detailed Description

Claims

Fulltext Word Count: 195626

Fulltext Availability:  
Detailed Description

Detailed Description

... create an adaptable environment that fulfih the needs of electronic information owners, distributors, and users; **financial** clearinghouses; and usage information analyzers and resellers. Rights and Control Information  
In general, the present...may be 'hooked." In general. since all commercially viable operating systems today provide Support for **network** based volumes, file systems, and other devices (e.a., printers. modems, etc.), the redirector 684...

8/8,K/37 (Item 11 from file: 349)  
DIALOG(R)File 349:(c) 2001 WIPO/Univentio. All rts. reserv.

00309793  
DATA PROCESSING SYSTEM AND METHOD FOR FINANCIAL DEBT INSTRUMENTS  
SYSTEME ET PROCEDE DE TRAITEMENT DE DONNEES POUR TITRES DE CREANCE  
Main International Patent Class: G06F-015/16  
Publication Language: English  
Fulltext Availability:  
Detailed Description  
Claims  
Fulltext Word Count: 12109

Fulltext Availability:  
Detailed Description

Detailed Description

... professionally managed mutual funds have come under criticism due to the fact that a large **number** of such funds were outperformed by general **equity** market indicators, such as the S&P 500 index, The S&P (Standard & Poor's...different capital markets.

SUMMARY OF THE PRESENT INVENTION

It is an object of the present **invention** to provide a **financial** management system to develop and administer a financial debt instrument traded as a listed security...

...of the present invention to provide a data processing system for administering information on each **share** of a selected basket of shares which is representative of a capital market, It is...reporting upon financial debt instruments designed to track the performance of established capital markets.

The **financial** debt instrument of the present **invention** comprises a basket of **stock** shares the return performance of which is representative of a capital market over a predetermined...

...of reducing the level of uncertainty about their investment return,  
In the preferred embodiment, the **financial** management system of the present **invention** packages

the optimally selected baskets of shares as debt instruments which are traded as OPALS...

...by the shares, or an Equity Linked Obligation ("ELO"), secured by the underlying basket of **stock** shares which are purchased and held by the financial management system. Upon maturity, the OPALS...to sell the security can send one set of instructions to an operator of the **financial** management system. The OPALS will settle in about five **business** days after the trade date, regardless of the local market settlement cycle. This is made...new financial debt instrument that increases the ease and diminishes the cost of investing.

The **financial** management structure of the present **invention** is operated according to the data processing methods and systems disclosed next, Fig. 1 illustrates in a block diagram form the **financial** management structure 8 of the present **invention** which links capital markets 1 and the investors 5, who wish to participate in one or more of these markets, Capital markets I may represent the **stock** market of different countries or an index associated with the performance of such markets. In a preferred embodiment of the present **invention financial** management structure 8 comprises a modeling system 3, **financial** debt instruments 10 traded to investors as single securities and a data processing system 20...accrued income and the appropriate maintenance expenses.

Data processing system 20 additionally reports over communications **network** 7 to the **investors** 5 the prices of all issued OPALS which can be traded on request, Furthermore, system...the selected portfolio. Capitalization may be defined as the value obtained by multiplying the total **number** of outstanding shares of a **stock** by the current price of the stock, Risk evaluation means 6 computes the capitalization of...trade transactions of the OPALS.

Data processing system 20 is also connected over a communications **network** to **investors** 5, In a preferred embodiment of the present invention this communication may be established over...

?